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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. MI22-2464

First Inventor Nishant Sinha

Title Methods of Forming Capacitor Structures

Express Mail Label No. EL 979978648 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 40]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: PTO Return Postcard;.....  
Check for \$1,004.00.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 10 / 134,201

Prior application information:

Examiner J. Kennedy

Group Art Unit: 2812

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

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(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Robert C. Hyta

Registration No. (Attorney/Agent)

46,791

Signature

Date

December 12, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$1,004.00)

## Complete if Known

Application Number PRIORITY 10/134,201  
Filing Date PRIORITY April 25, 2002  
First Named Inventor Nishant Sinha  
Examiner Name PRIORITY J. Kennedy  
Group / Art Unit PRIORITY 2812  
Attorney Docket No. MI22-2464

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 23-0925

Deposit Account Name Wells, St. John, P.S.

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid
101	201	345	Utility filing fee	770.00
106	206	155	Design filing fee	
107	207	240	Plant filing fee	
108	208	345	Reissue filing fee	
114	214	75	Provisional filing fee	

SUBTOTAL (1) (\$770.00)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
33	-20** = 13	18	234
Independent Claims	3	-3** = 0	0
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description
103	203	9	Claims in excess of 20
102	202	39	Independent claims in excess of 3
104	204	130	Multiple dependent claim, if not paid
109	209	39	** Reissue independent claims over original patent
110	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$234.00)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid
105	205	65	Surcharge - late filing fee or oath	0.00
127	227	25	Surcharge - late provisional filing fee or cover sheet.	0.00
139	239	130	Non-English specification	0.00
147	247	2,520	For filing a request for reexamination	0.00
112	212	920*	Requesting publication of SIR prior to Examiner action	0.00
113	213	1,840*	Requesting publication of SIR after Examiner action	0.00
115	215	55	Extension for reply within first month	0.00
116	216	190	Extension for reply within second month	0.00
117	217	435	Extension for reply within third month	0.00
118	218	680	Extension for reply within fourth month	0.00
128	228	925	Extension for reply within fifth month	0.00
119	219	150	Notice of Appeal	0.00
120	220	150	Filing a brief in support of an appeal	0.00
121	221	130	Request for oral hearing	0.00
138	238	1,510	Petition to institute a public use proceeding	0.00
140	240	55	Petition to revive - unavoidable	0.00
141	241	605	Petition to revive - unintentional	0.00
142	242	605	Utility issue fee (or reissue)	0.00
143	243	215	Design issue fee	0.00
144	244	290	Plant issue fee	0.00
122	222	130	Petitions to the Commissioner	0.00
123	223	50	Petitions related to provisional applications	0.00
126	226	240	Submission of Information Disclosure Stmt	0.00
581	281	40	Recording each patent assignment per property (times number of properties)	0.00
146	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00
Other fee (specify)				0.00
Other fee (specify)				0.00

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

## SUBMITTED BY

Name (Print/Type)	Robert C. Hyatt	Registration No. (Attorney/Agent)	46,791	Telephone	509-624-4276
Signature	<i>[Signature]</i>	Date	12/12/03		

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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